

10/01/99



Jc564 U.S. PTO

Law Offices  
FOLEY & LARDNER  
2029 Century Park East, 35<sup>th</sup> Floor  
Los Angeles, CA 90067-3021

A

TO: Assistant Commissioner for Patents  
Box Patent Applications  
Washington D.C. 20231

Attorney Docket No. 027756-0101

**UTILITY PATENT APPLICATION TRANSMITTAL UNDER 37 C.F.R. 1.53(b)**

Transmitted herewith for filing is the patent application of:

**INVENTOR(S): ARTHUR WILLARD CHAFFEE**

**TITLE: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD**

In connection with this application, the following are enclosed:

**APPLICATION ELEMENTS:**

- ☒ Specification (including Abstract of the Disclosure) - 29 Total Pages
- ☒ Drawings - 44 Total Sheets
- ☒ Appendix - 12 Total sheets
- ☒ Declaration and Power of Attorney - 2 Total Sheets
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63(d))  
(relates to continuation/divisional boxes completed) - NOTE: Box below
  - ☐ DELETION OF INVENTOR(S) - Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
- ☐ Incorporation By Reference (useable if copy of prior application Declaration being submitted)  
The entire disclosure of the prior application, from which a COPY of the oath or declaration is supplied as noted above, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
- ☐ Microfiche Computer Program (Appendix)
- ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Copy
  - ☐ Paper Copy (identical to computer copy)
  - ☐ Statement verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS:**

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 C.F.R. 3.73(b) Statement (when there is an assignee)
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement(IDS) with PTO-1449.
  - ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☐ Return Receipt Postcard (MPEP 503)
- ☒ Small Entity Statement(s)
  - ☐ Statement filed in prior application, status still proper and desired.
- ☐ Certified Copy of Priority Document(s) with Claim of Priority (if foreign priority is claimed).
- ☐ OTHER:

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If a **CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application Serial No. \_\_\_\_  
☐ Amend the specification by inserting before the first line the following sentence: --This application is a continuation, ☐ divisional or ☐ continuation-in-part of application Serial No. \_\_, filed \_\_.--

**CORRESPONDENCE ADDRESS:**

Foley & Lardner Address noted above.

Telephone: 310-277-2223

Fax Number: 310-557-8475

**FEE CALCULATIONS:** (Small entity fees indicated in parentheses.)

(1) For	(2) Number Filed	(3) Number Extra	(4) Rate	(5) Basic Fee \$760 (\$380)
Total Claims	48 - 20 =	28	x \$18 (x \$9)	\$252
Independent Claims	8 - 3 =	5	x \$78 (x \$39)	\$195
Multiple Dependent Claims			\$260 (\$130)	
Assignment Recording Fee per property			\$40	
Surcharge Under 37 C.F.R. 1.16(e)			\$130 (\$65)	
TOTAL FEE:				\$827.00

**METHOD OF PAYMENT:**

A check in the amount of the above TOTAL FEE is attached. If payment by check is NOT enclosed, it is requested that the Patent and Trademark Office advise the undersigned of the period of time within which to file the TOTAL FEE. If payment enclosed, this amount is believed to be correct; however, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 19-0741.

Respectfully submitted,

October 1, 1999

Date

Frederick D. Kim  
Frederick D. Kim  
Reg. No. 38,513

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No. 027756-0101

In re patent application of

Arthur Willard Chaffee

Group Art Unit: Unassigned

Serial No. Unassigned

Examiner: Unassigned

Filed: Concurrently Herewith

For: INVESTMENT PORTFOLIO TRACKING SYSTEM AND METHOD

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

Assistant Commissioner for Patents  
Box Patent Applications/CPA  
Washington, D.C. 20231

Assistant Commissioner:

I hereby certify that the following paper(s) and/or fee along with any attachments referred to or identified as being attached or enclosed are being deposited with the United States Postal Service as Express Mail (Express Mail Label No. EL071208750US) under 37 C.F.R. § 1.10 on the date of deposit shown below with sufficient postage and in an envelope addressed to the Assistant Commissioner for Patents, Box Patent Applications/CPA, Washington D.C. 20231.

1. Application Transmittal Sheet
2. Specification/Abstract - 29 pages
3. Drawings 44 sheets enclosed
4. Appendix 12 sheets enclosed
5. Declaration and Power of Attorney
6. Verified Statement Claiming Small Entity Status - Independent Inventor
7. Postcard enclosed
8. Check Nos. 12229 and 12275

Respectfully submitted,

October 1, 1999

Date



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Reg. No. 38,513

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